

Records Management Guidelines

Appeals, Grievances, Investigations – Case Files (CSA Ref. 11-5)

Records of documents related to grievances and appeals raise by an employee, except discrimination complaints and appeals noted elsewhere. Case files include supporting documents for proposed action, witness statements, replies to allegations, hearing notices, interview reports, findings, exhibits, requests for reconsideration, correspondence, withdrawal notices.

Retention

Record copy: Retain by agency HR office until final resolution of cases and then destroy.

Duplicate copy: Not required.

Compensation Survey Report and Director's Total Compensation Recommendation (CSA Ref. 11-4)

Survey reports and the director's recommendations, including updates, on various pay, benefits, and performance pay prepared by Department of Personnel & Administration.

Retention

Record copy: Retain by Department of Personnel & Administration for 3 years and then destroy. Transfer to Archives for permanent record.

Duplicate copies: Not required once four copies of official report are filed with state library.

Discrimination Complaint Case Files (CSA Ref. 11-7)

Official complaint files containing complaints, related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records.

Retention

Record copy: Retain by agency HR office until final resolution of case and then destroy.

Duplicate copies: Not required.

EEO -Equal Employment Opportunity files (CSA Ref. 11-1)

Affirmative Action Plans (AAP) developed by agencies contracting with the federal government as required under federal regulation. Compliance

review files containing background papers, etc., relating to contractor employment practices.

Retention

Record copy: AAP permanent and retain by agency HR office for 5 years and then transfer to the State Archives. Compliance review files retained by agency HR office for 7 years and then destroy.

Duplicate copies: Not required.

Employee Assistance Files at CSEAP (CSA Ref. 11-8)

Case files that contain documents and records related to an employee's case history.

Retention

Record copy: Retain by CSEAP for 10 years after case is closed and then destroy.

Duplicate copies: Not required

Exam Files (CSA Ref. 11-1)

Announcement of job opening, applications of those not selected including transcripts, DD-214, job analysis, tests taken by applicants who have met the minimum qualifications, e.g., scantron sheets, written exercise, oral examination, canvass letters. Eligibility and referral lists, correspondence, referral outcome and appeals.

Retention

Record copy: Retain by agency HR office for 2 years from date of exam or resolution of any dispute, whichever is longer and then destroy.

Duplicate copies: Not required.

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Human Services Department - Merit Employee Records (CSA Ref. 11-15)

Records include summary performance appraisal records, containing appraisals and the job elements and standards upon which they are based, and any supporting documentation. Employment records and pay records.

Retention

Record copy: Retain by Department of Human Services as part of Merit System personnel file for 10 years.

Duplicate copies: Not required.

I-9 - Citizenship or Authorization to Work (CSA Ref. 11-6)

Completed Immigration and Naturalization Services Form I-9 (Employment Eligibility Verification Form) for all employees hired after November 6, 1986.

Retention

Record copy: Retain by agency HR or Payroll office for 3 years after termination.

Duplicate copies: Not required.

Incentive Awards/Employee Recognition Program Reports (CSA Ref. 11-10)

Operational plans and reports pertaining to agency-sponsored incentive awards and recognition programs.

Retention

Record copy: Retain by agency HR office until superceded or obsolete.

Duplicate copies: Not required.

Labor-Management Relations Files (CSA Ref. 11-12)

Documents related to general labor-management relations. Includes correspondence, memoranda, reports, and other records relating to the relationship between management and employee associations or other groups.

Retention

Record copy: Retain by agency HR office for 1 year and then destroy.

Duplicate copies: Not required.

Leave records (CSA Ref. 11-13)

Forms and correspondence related to an employee's request for time off from work. Records of the amount of leave earned and taken by employees. Information includes employee's name, social security number or employee ID number, type of leave number of days or hours requested, date requested, reason, signature of employee and approval, including FMLA designation and signature of supervisor and appointing authority, accrual maximums, and leave balances.

NOTE: Any document containing health related information must be kept confidential in separate secured files with limited access.

Retention

Record copy: Retain by agency HR office until separation and then destroy. (See “agency personnel files for permanent employees” for final accrual and leave balance.) If employee transfers to another agency forward to new agency within 10 days.

Duplicate copies: No duplicate copies.

Medical/Health files (CSA Ref. 11-9)

Records containing confidential information on an employee’s health or medical conditions used for employment-related decisions, e.g., medical and fitness to return certificates, leave requests for health-related reasons, correspondence, drug test results, and ADA accommodations.

NOTE: Any document containing health-related information must be kept in these separate secured files with limited access.

Retention

Record copy: Retain by agency HR office for 3 years or after retirement or separation and then destroy.

Duplicate copies: No duplicate copies.

Personnel Files - Permanent Employees (CSA Ref. 11-2)

Complete work history of individual while employed by the State. When an employee transfers to another state agency, the official personnel files must be sent to the new agency. Files include the following types of documents:

- Personnel Action Form, Personnel Requisitions (or form used by HR office);
- Most current 3 years performance plans and evaluations;
- Group benefits notifications and forms;
- Work arrangement agreements, e.g., job sharing, flextime and telecommuting;
- Pay-related documents, e.g., overtime designation and agreement as required by FLSA where applicable, discretionary pay and in-range salary movement agreements, voluntary furlough and base salary waivers;
- Employment application and supporting documents, e.g., DD-214, background check, references, letters of job offers, employee orientation acknowledgement, check-in form;

- Termination documentation, e.g., exit interview and checklist forms, layoff notice, final annual leave earning rate and sick leave balance (unless retirement);
- Confidentiality and security agreements, code of ethics and standards of performance acknowledgements;
- Financial disclosure reports, secondary employment and outside activity approvals (conflict of interest statements), and related documents as required by a department/institution, e.g., mortgage, employment verifications;
- Letters of commendation and appreciation, incentives and other awards or nominations;
- Length of service records;
- Corrective/Disciplinary actions, disciplinary removal, suspensions;
- Decisions on grievances, disputes and appeals (not identified elsewhere), complaints against the employee;
- Training or educational approval forms or participation records.

Retention

Record copy: Retain agency HR office for 10 years following separation or retirement and then destroy.

Duplicate copies: Not required.

Personnel Files - Temporary Employees (CSA Ref. 11-3)

Copies of correspondence and forms maintained in the personnel files of a temporary employee, e.g., application for employment, personnel actions, and I-9.

Retention

Record copy: Retain by agency HR office for 1 year after separation and then destroy.

Position Files (CSA Ref. 11-17)

Completed official job descriptions used to create new positions, abolish old positions, reallocate occupied positions reports and other records relating to allocation of the position, appeals.

Retention

Record copy: Retain by agency HR office until position is abolished.

Duplicate copies: Not required.

Rulemaking files (CSA Ref. 11-16)

Files that outline policies and procedures to be followed regarding the state personnel system throughout state government.

Retention

Record copy: Permanent. Retain by Department of Personnel & Administration for 5 years and then transfer to State Archives.

Duplicate copies: Retain by Department of Personnel & Administration until superseded or no longer needed and then destroy.

System Maintenance Studies (CSA Ref. 11-18)

Job evaluation letters including conversion chart, narrative, and class descriptions.

Retention

Record copy: Retain by Department of Personnel & Administration as long as class series is still active and then for 5 years. Transfer to Archives for permanent record.

Duplicate copies: Not required once duplicate copies are delivered to required parties.

Workers' Compensation - Case Files (CSA Ref. 11-19)

Forms, reports, correspondence and related medical and investigative records regarding on-the-job injuries, whether or not a claim for compensation was made. These case files exclude copies of official reports filed in the agency personnel file and submitted to the Division of Workers' Compensation.

Retention

Record copy: Retain by agency HR office for 2 years and then destroy.

Duplicate copies: Not required.

Workers' Compensation - Log and Summary of Occupational Injuries and Illnesses (CSA Ref. 11-14)

Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities,

non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

Retention

Record copy: Retained by Risk Management in DPA or workers' compensation insurance carrier.

Duplicate copies: Retain by agency HR office for 1 year and then destroy.